



NC DEPARTMENT OF
**HEALTH AND
HUMAN SERVICES**

Division of Mental Health, Developmental
Disabilities and Substance Abuse Services

ROY COOPER • Governor

MANDY COHEN, MD, MPH • Secretary

KODY H. KINSLEY • Deputy Secretary for Behavioral Health & IDD

May 15, 2019

MEMORANDUM

TO: LME-MCO Points of Contact

FROM: Barbara Flood *BF*
LME-MCO Systems Review Coordinator

RE: State Fiscal Year 2019 LME-MCO Systems Review

The SFY 2019 annual LME-MCO Systems Review will take place July 15, 2019-September 30, 2019. This review will consist of a Block Grant Review and Clinical Services Review which will include the Community Mental Health Services Block Grant (CMHSBG), the Substance Abuse Prevention and Treatment Block Grant (SAPTBG) and the Social Services Block Grant (SSBG), the Planning Grant for Expansion of Comprehensive Mental Health Services for Children and their Families (System of Care Planning Grant), and as well as state-funded services.

Brief Description of Each Review:

Block Grant Review

The Block Grant Review is conducted to ensure compliance with the requirements of 45 CFR Part 96, Subpart I, the Substance Abuse Prevention and Treatment Block Grant (SAPTBG) and 42 USC Part B, Subpart I, Block Grants for Community Mental Health Services (CMHSBG). The System of Care Expansion Planning Grant (CFDA 93.104) will also be included as part of the Block Grant Review. The tools and guidelines, which will be posted early June, provide details about the specific areas of each review. The block grant review will include two areas: a review of programs and a review of records for individuals receiving services.

Block Grant Program Review

- CASAWORKs for Families™ Residential Initiative
- SAPTBG Set Aside Programs for Women Who are Pregnant, Who Have Dependent Children and/or Are Seeking Custody of a Child(ren) (WSAF)
- SAPTBG Work First/Child Protective Services Substance Use Initiative
- SAPTBG Individuals Using Substances Intravenously (SAPTBG IV)
- Juvenile Justice Substance Abuse Mental Health Partnership (JJSAMHP)

NC DEPARTMENT OF HEALTH AND HUMAN SERVICES • DIVISION OF MENTAL HEALTH, DEVELOPMENTAL DISABILITIES AND SUBSTANCE ABUSE SERVICES

LOCATION: 306 N. Wilmington Street, Bath Building, Raleigh, NC 27601
MAILING ADDRESS: 3001 Mail Service Center, Raleigh, NC 27699-3001
www.ncdhhs.gov • TEL: 919-733-7011 • FAX: 919-508-0951

AN EQUAL OPPORTUNITY / AFFIRMATIVE ACTION EMPLOYER

- Community Mental Health Services Block Grant (CMHSBG)

Block Grant Record Review

- SAPTBG
- CASAWORKs for Families™ Residential Initiative
- SAPTBG Set Aside Programs for Women Who are Pregnant, Who Have Dependent Children and/or Are Seeking Custody of a Child(ren)
- SAPTBG Work First/Child Protective Services Substance Use Initiative
- SAPTBG Individuals Using Substances Intravenously
- Juvenile Justice Substance Abuse Mental Health Partnership (JJSAMHP)
- Community Mental Health Services Block Grant (CMHSBG)

Clinical Services Review

Adult MH, SUD and I/DD

Clinical monitoring is inclusive of the SAPTBG, CMHSBG, SSBG and State-Funded services. SFY 2019 clinical monitoring will focus on the review of persons identified in the current LME-MCO contract as high priority/high risk populations to determine if those individuals:

- 1) received care coordination based on parameters set forth in the current contract,
- 2) received referrals to approved follow up services,
- 3) met the criteria for the identified DMH/DD/SAS Benefit Plan, and/or
- 4) met eligibility criteria for services.

This year, clinical monitoring will also review the implementation of the quality improvement plans LME-MCOs developed based on feedback from SFY 2018 clinical monitoring. The purpose of this review will be to determine if: 1) the policies/procedures & protocols were implemented and 2) if such policies/procedures & protocols effectively addressed the compliance issue.

Child MH and SUD

The purpose of clinical monitoring for child services is to determine if the LME-MCO followed established policies, procedures, and specific processes in the execution of the access, screening, triage, and referral functions. The monitoring will consist of an onsite review of LME/MCO case notes, summaries, and dispositions for uninsured consumer calls to STR.

Sample Selection

The 2019 LME-MCO Systems Review will involve sampling of records in advance of the onsite reviews. Samples will be forwarded to the LME-MCO ten (10) business days prior to the scheduled onsite review. Please find below the sampling processes for each area of reviews.

Block Grant Review

SAPTBG, WSAF, SAPTBG IV and CMHSBG sample will be pulled from NC TRACKS by the Division of MH/IDD/SAS

For CASAWORKS, Work First and JJSAMHP the LME-MCO will need to provide a list of individuals served in the current fiscal year using the attached spreadsheet. It is important to complete all sections and return the spreadsheet securely to Barbara Flood at barbara.flood@dhhs.nc.gov by May 31, 2019.

Additionally, the program areas listed below will be completed as desk reviews prior to the onsite review. Please forward documentation to answer the questions for each tool listed to Barbara.flood@dhhs.nc.gov by **June 14, 2019**. The LME-MCO will receive notification of the tools being posted on the division web site in early June.

1. Work First Program
2. JJSAMHP Program
3. CMHSBG Program

Child MH and SUD Clinical Monitoring

Sample Selection: Uninsured consumers (child/youth) who called into and were served by STR during the period 7/1/18-3/30/19.

LME-MCO Record Review: Records of a sample of 6-8 STR encounters will be reviewed to determine LME-MCO adherence to established policy, procedure, and process.

LME-MCOs will securely send the following to eric.harbour@dhhs.nc.gov by **5/31/19**:

1. Listing of all uninsured child/youth STRs calls during the period 7/1/18-3/30/19.
2. List of three STR calls that involved consumer complaints for uninsured child/youth during the period 7/1/18-3/30/19.
3. Answers to the following questions. Not part of the clinical monitoring. For informational purposes only:
 - How is your LME-MCO preparing for the impact of the DSS Families First federal legislation on your child service system?
 - How is your LME-MCO preparing for the impact of the Juvenile Justice Raise the Age legislation on your child service system?
 - How are you progressing with the planning for the transition of child clients to the Standard plan (including collaboration with Standard plans, Advanced Medical Homes, DSS, Schools, and juvenile justice?)

Adult MH, SUD and I/DD samples will be pulled from paid claims through NC TRACKS

A. Sample Selection & LME-MCO Record Review for MH and SUD

- Sample Selection: Adults with substance use disorders (SUD) or with mental health (MH) disorders who were discharged from a state psychiatric hospital, ADATC, community psychiatric hospital, facility-based crisis program, or non-hospital medical detoxification service with paid claims between February 1, 2019 and May 31, 2019.
- LME-MCO-Record Review: The records of adults with SU and MH disorders will be reviewed to determine the outcome for the individual 30 calendar days following discharge.

B. LME-MCO policies/procedures & protocols for MH and SU SFY 18 Clinical Monitoring

- Documentation for review- policies/procedures and protocols submitted in response to SFY 18 clinical monitoring Plan of Correction and/or Technical Assistance.
- Possible documentation needed for review- up to date copy of any new or revised policies, procedures or protocols, training logs, monitoring completed by internal Care Coordination or Quality Management staff

- C. Sample Selection & LME-MCO Record Review for I/DD
- Sample Selection: Adults who received day and employment services (i.e. supported employment, developmental day, day supports, day activity, etc.) funded by SSBG and/or State dollars will be reviewed.
 - LME-MCO Record Review: Records will be monitored based the approved DMH/DD/SAS Benefit Plan and service definition eligibility criteria.

Training Opportunity and Additional Information

To assist in preparing for the review, we are providing the following technical assistance. Please mark your calendar for these important dates:

- **Ongoing** -- A special mailbox is available to receive questions about the 2019 review. These questions will be routed to the appropriate subject matter expert for a response. The mailbox address is LME.Monitoring@dhhs.nc.gov.
- **Early June** -- Audit Tools (in Excel Format) and Guidelines will be posted on the Audit Information page. <https://www.ncdhhs.gov/divisions/mhddsas/LME-MCOs>, click Audit Information
- **June 17, 2019, 1:30-3:00** -- The webinar will present an overview of the tools/guidelines, new areas that will reviewed, sample selection and technical assistance. LME-MCO staff responsible for the special programs and services that are included in the systems review are invited to attend the webinar.

Webinar Information

Topic: 2019 LME-MCO Systems Review Team Webinar

Date and Time:

Monday, June 17, 2019 1:30 pm, Eastern Daylight Time (New York, GMT-04:00)

Event number: 661 567 264

Event password: 0617

Event address for attendees:

<https://dsohf.webex.com/dsohf/onstage/g.php?MTID=e15b72f63a9304b5a86d22d5f65776d1c>

Audio conference information

To join by audio, please dial 1-888-273-3658; Access Code: 2490768#

To Mute / Unmute your line *6

<https://www.webex.com>

The systems review will be conducted at the location designated by the LME-MCO and is scheduled to be completed in one day. Please ensure that the appropriate staff and documentation are available at the time of the review.

Barbara Flood will be the coordinator for the 2019 systems review and will be the DMH point of contact. Contact information: barbara.flood@dhhs.nc.gov

cc: **LME-MCO**
Contract Managers

Division of MH/IDD/SAS

Matt Herr, Acting Assistant Director for System Performance
Kathy Nichols, Associate Director of Services and Supports
Dennis Farley, Team Lead, Financial Audit Team
Walt Caison, Section Chief, Mental Health Services
DeDe Severino, Section Chief, Addictions and Operations Management Section
Starleen Scott-Robbins, LCSW, Women's Services Coordinator
Mya Lewis, I/DD & TBI Section Chief
Eric Harbour, Child Mental Health Team Lead
LaToya Chancey, I/DD Team Lead
Stacy A. Smith, Adult Mental Health Team Lead
LME-MCO Systems Performance Liaisons